

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview

1. **Date of Submission:** 2011-02-25

2. **Agency:** 024

3. **Bureau:** 00

4. **Name of this Investment:** DHS - Transformation and Systems Consolidation (TASC)

5. **Unique Project (Investment) Identifier (UPI):** 024-00-01-01-01-0611-00

6. **What kind of investment will this be in FY 2012?:** Planning

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. **What was the first budget year this investment was submitted to OMB?** FY2004

8.

- a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

The Transformation and Systems Consolidation (TASC) initiative is a key DHS strategy to achieve compliant Financial Management (FM) services and consolidate financial, acquisition, and asset management operations across the DHS. This initiative will be our core accounting system and enable DHS to become a more accountable steward of taxpayer dollars. DHS was created from 22 agencies - each component bringing its own set of systems. The complexity of redundant, disparate processes creates significant audit issues and high operating and maintenance costs (over 100 million annually). FM processing redundancies produce significant avoidable costs associated with corrections, with establishing and maintaining interfaces and internal controls, and with inaccurate disparate reporting. Also, DHS struggles with financial reporting accuracy and timeliness because of data diversity, numerous manual processes and data sources, and multiple data reconciliation issues. This adversely impacts CFO audit to include internal controls, systems security, and funds balance with Treasury. It hampers our ability to be responsive to information needs and inhibits effective DHS-wide performance management and the ability to accurately report. The CFO-established TASC goals will enable OMB regulatory compliance (e.g., CFO Act, FFMIA, A-123), improve system security, correct current audit issues, enhance internal controls, improve system integration, standardize processes and data in accordance with FMLoB & CGAC, and enhance management oversight. TASC will accomplish these outcomes by consolidating systems and standardizing processes and data onto a single platform for efficiency and effectiveness (e.g., consolidate Hosting, Application Management, and Business Process Services). The previous efforts attempted to build and integrate a financial application system (e.g., a crash conversion), but the TASC strategy of using existing capability and a phased implementation approach will enable DHS to leverage known viable federal systems and utilize lessons learned. DHS will reduce developmental risk and implementation cost, achieve the CFO's goals, leverage and enhance existing proven systems, implement proven migration processes, and share costs across a broader base while leveraging existing federal investments.

- b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
IT Program Assessment	http://www.dhs.gov/xlibrary/assets/mgmt/itpa-dhs-rmt2010.pdf

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**

2008-09-26

- b. **Provide the date of the most recent or planned approved project charter.** 2009-11-24

10. **Contact information?**

- a. **Program/Project Manager Name:** *

Phone Number: *

Email: *

- b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** Peggy Sherry

Phone Number: *

Email: *

11. **What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA):** Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding

(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 1

3. Insert the number of years covered in the column “BY+4 and beyond”: *

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
Awarded	7001	HSHQDC07J00639	HSHQDC06D00065	HSHQDC-07-Q-00256	*	*		Time and Materials	N	2007-09-25	2012-09-24	Y	Program/Management Support Services for the RMTO
Awarded	7001	HSHQDC08F00001	GS10F0007P		*	*		Time and Materials	N	2007-11-02	2012-06-30	Y	Program Management /Support Services
Awarded	7001	HSHQDC11D00001		HSHQDC09R00001	*	*	\$0.0	Order Dependent (IDV only)	Y	2010-11-22		Y	Transformation and Systems Consolidation (TASC)

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3.

a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow *

b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 *

c. Was the Acquisition Plan approved in accordance with agency requirements *

d. If "yes," enter the date of approval? *

e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? *

f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? *

g. If an Acquisition Plan has not been developed, provide a brief explanation.

*

Part II: IT Capital Investments

Section A: General

1.
 - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. yes
 - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education.
2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. this program itself will be offered as financial management as a service under dhs private cloud future offering to each dhs component.
3. Provide the date of the most recent or planned Quality Assurance Plan 2011-01-19
4.
 - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment. 024-50-01-01-01-1080-00
 - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s).
5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 2009-10-01
6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2010-09-10

Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Solution Engineering - Pre-award Planning and Award Acquisition	DME	*	\$3.5	\$3.5	2010-03-31	2010-03-31	2010-04-15		100.00%	98.00%
Program Support & IV&V (phase 1)	DME	*	\$8.1	\$0.4	2010-11-01	2010-11-01	2012-09-30		4.00%	3.00%
Business Assessment & Requirements Identification - Phase 1	DME	*	\$6.3		2011-03-04		2011-09-30		0.00%	0.00%
Establish & Demo Environments - Pre-Prod, Prod, Train, Test, Dev.	DME	*	*	*	2011-06-01	*	2012-01-01	*	*	*
Establish Infrastructure - Hardware & Software - Phase 1	DME	*	*	*	2011-06-01	*	2012-09-30	*	*	*
Standup - Install, Assembly, Security, Test, Checkout	DME	*	*	*	2012-01-01	*	2013-01-01	*	*	*
System Design & Engineering - Requirements Definition - Phase 1	DME	*	*	*	2011-08-03	*	2012-09-30	*	*	*
System Design & Engineering - Architecture & BPR - Phase 1	DME	*	*	*	2011-08-03	*	2012-09-30	*	*	*

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Development (PM/SE) - Component-1 Migration	DME	*	*	*	2012-09-30	*	2013-01-01	*	*	*
Configuration - Component-1	DME	*	*	*	2012-03-12	*	2012-09-30	*	*	*
Data Migration - Component-1	DME	*	*	*	2012-07-01	*	2013-01-31	*	*	*
Acceptance Testing - Component-1	DME	*	*	*	2012-09-03	*	2012-12-03	*	*	*
Training - Component-1	DME	*	*	*	2012-11-05	*	2013-01-01	*	*	*
Integration & Testing - Phase 1	DME	*	*	*	2012-09-30	*	2012-12-30	*	*	*
Implementation & Deployment - Phase 1	DME	*	*	*	2012-09-30	*	2013-01-01	*	*	*
Operations & Maintenance - Phase 1 (system maintenance & documentation)	SS	*	*	*	2013-01-01	*	2013-09-30	*	*	*
Disposition - Phase 1	DME	*	*	*	2012-09-30	*	2013-03-31	*	*	*
Phase 2 - TBD	DME	*	*	*	2012-10-01	*	2014-09-30	*	*	*
Phase 3 - TBD	DME	*	*	*	2014-10-01	*	2016-09-30	*	*	*
Phase 4 - TBD	DME	*	*	*	2016-10-01	*	2018-09-30	*	*	*
Program Planning & Vendor Support (Establish & Maintain PMO) - Phase 1	DME	*	\$7.0		2011-02-25		2013-01-01		0.00%	0.00%
Operations &	SS	*	*	*	2013-01-01	*	2013-09-30	*	*	*

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Maintenance - Phase 1 (enhancements)										
Operations & Maintenance - Phase 1 (help desk)	SS	*	*	*	2012-09-30	*	2013-09-30	*	*	*
Operations & Maintenance - Phase 1 (DR testing)	SS	*	*	*	2012-04-27	*	2013-01-01	*	*	*
Operations & Maintenance - Phase 1 (security activities)	SS	*	*	*	2012-09-30	*	2013-09-30	*	*	*

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion. The revised acquisition approach and re-baseline will correct the schedule variance.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Processes and Activities	Financial Management	Accuracy of reporting - Ensure that the solution has properly configured posting logic and supports accurate and timely recording of financial information	annual	number of transactions	Increase	95% of all transactions are posted to the correct account in the General Ledger	2012-09-30
Processes and Activities	Security	Completeness of auditing transactions - address weak financial system security controls by auditing application users and maintaining a record of transactions and data exchange across the integrated system	annual	number of security controls	Increase	95% of system activities recorded in a transactional audit trail across the integrated application suite during testing	2012-09-30

Mission and Business Results	Accounting	Cycle time - of established General ledger posting logic and baseline for timely reporting of financial information	testing				
			2013	99% of system activities recorded in a transactional audit trail across the integrated application suite during testing	Available by end of Fiscal Year		2010-09-16
			annual	existence of posting logic, cycle time	Decrease	TBD - Logic identified and cycle time	2011-09-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
Processes and Activities	Errors	Degree of compliance - the solution has FSIO compliant end-to-end payment process function	2011	TBD - from requirements traceability matrix - for all currently participating components (FEMA - for 2011-2013)	Available by end of Fiscal Year		2010-09-16
			annual	degree of compliance	Increase	Transactions flow through the system payment process without error 90% of the time	2011-09-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	Transactions flow through the system payment process without error 97% of the time	Available by end of Fiscal Year		2010-09-16
			2012	Transactions flow through the system payment process without error 97% of the time	Available by end of Fiscal Year		2010-09-16
			2013	Transactions flow through the system payment process without error 97% of the time	Available by end of Fiscal Year		2010-09-16
Customer Results	Customer Satisfaction	Maintain a level of 4 (out	annual	Number - scale of	Increase	TBD - from program	2011-09-30

of 5) customer
satisfaction rating over
change and issue
resolution processes
measured through
periodic surveys

satisfaction

surveys

Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
2011	4.0	Available by end of Fiscal Year		2010-09-16
2012	4.05	Available by end of Fiscal Year		2010-09-16
2013	4.1	Available by end of Fiscal Year		2010-09-16

Technology	Reliability	Mean Time Between (Major) System Failures	annual	time elapsed - between number of (major) failures	Increase	TBD - months between (major) system failures	2011-09-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	3 months between (major) system failures	Available by end of Fiscal Year		2010-09-16
			2012	3.5 months between (major) system failures	Available by end of Fiscal Year		2010-09-16
			2013	4 months between (major) system failures	Available by end of Fiscal Year		2010-09-16
Technology	Standards Compliance and Deviations	Number of auditor-reported material weaknesses	annual	Number of reported material weaknesses	Decrease	TBD - from legacy system audits	2011-09-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	1	Available by end of Fiscal Year		2010-09-16
			2012	0	Available by end of Fiscal Year		2010-09-16

			2013	0	Available by end of Fiscal Year		2010-09-16
Processes and Activities	Security	Number of deployed enterprise authorization rules - Strengthen system security by centralizing user authentication rules and deploying them at an enterprise level	annual	security violations	Decrease	100% implementation and enforcement of strong password authentication and 90 day password expiration period (for test system)	2012-09-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	100% implementation and enforcement of strong password authentication and 90 day password expiration period (for test system)	Available by end of Fiscal Year		2010-09-16
			2013	100% implementation and enforcement of strong password authentication and 90 day password expiration period (for production system)	Available by end of Fiscal Year		2010-09-16
Processes and Activities	Security	Number of established user authentication rules and a deployment policy	annual	number of rules identified	Increase	TBD - Rules identified	2011-09-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	TBD - from requirements traceability matrix - for all currently participating components (FEMA - for 2011-2013)	Available by end of Fiscal Year		2010-09-16
Processes and Activities	Financial Management	Number of identified key financial controls (A-123) across the integrated system (e.g., automatic verification of funds availability prior to	annual	number of controls	Increase	TBD - Requirements identified	2011-09-30

		approving commitments or obligations)					
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	TBD - from requirements traceability matrix - for all currently participating components (FEMA - for 2011-2013)	Available by end of Fiscal Year		2010-09-16
Processes and Activities	Financial Management	Number of implemented A-123 controls - address internal control weaknesses through implementation and automation of key financial controls across the integrated system	annual	number of automated controls	Increase	Automatic verification of funds availability against the General Ledger prior to approving commitments or obligations for 95% of transactions	2012-09-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	Automatic verification of funds availability against the General Ledger prior to approving commitments or obligations for 100% of transactions	Available by end of Fiscal Year		2010-09-16
			2013	Automatic verification of funds availability against the General Ledger prior to approving commitments or obligations for 100% of transactions	Available by end of Fiscal Year		2010-09-16
Mission and Business Results	Accounting	Number of requirements deployed by end of Phase1 - including 100% deployment of the mandatory requirements for an integrated solution	annual	Number of requirements	Increase	TBD - from requirements traceability matrix	2011-09-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated

			2011	TBD - from the requirements traceability matrix	Available by end of Fiscal Year		2010-09-16
			2012	TBD - from the requirements traceability matrix	Available by end of Fiscal Year		2010-09-16
			2013	TBD - from the requirements traceability matrix	Available by end of Fiscal Year		2010-09-16
			annual	number of audit trails	Increase	TBD - Requirements identified	2011-09-30
Technology	Reliability	Number of requirements for audit trails - established requirements for a transactional audit trail across the integrated application suite					
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	All currently participating components	Available by end of Fiscal Year		2010-09-16
Processes and Activities	Financial Management	Number of standard (reusable) reports	annual	number of reports	Increase	TBD - number of standard (reusable) reports	2011-09-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	TBD - number of standard (reusable) reports	Available by end of Fiscal Year		2010-09-16
			2012	TBD - number of standard (reusable) reports	Available by end of Fiscal Year		2010-09-16
			2013	TBD - number of standard (reusable) reports	Available by end of Fiscal Year		2010-09-16
Technology	Training and User Costs	Number of trained users for Phase1 including 100% of the identified FEMA users being given an opportunity to	annual	Number of trained users	Increase	800	2011-09-30

complete training

Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
2011	100	Available by end of Fiscal Year		2010-09-16
2012	600	Available by end of Fiscal Year		2010-09-16
2013	800	Available by end of Fiscal Year		2010-09-16

Technology	Availability	Percentage of time the system is up and operable expressed as a proportion of the agreed upon hours of availability	annual	percentage of hours	Maintain	TBD - from legacy system	2011-09-30
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Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
2011	99.97%	Available by end of Fiscal Year		2010-09-16
2012	99.98%	Available by end of Fiscal Year		2010-09-16
2013	99.99%	Available by end of Fiscal Year		2010-09-16

Customer Results	Response Time	Response time - Ensure that each application is performing optimally and system response is within performance metric scope	annual	response time	Decrease	The application will provide response times in the range of 9-12 seconds, as applicable, for screen refresh, navigation of forms, response of defined standard online report execution in the test environment	2011-09-30
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Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
2011	The application will	Available by end of		2010-09-16

provide response times in the range of 5-10 seconds, as applicable, for screen refresh, navigation of forms, response of defined standard online report execution					Fiscal Year	
2012	The application will provide response times in the range of 5-10 seconds, as applicable, for screen refresh, navigation of forms, response of defined standard online report execution	Available by end of Fiscal Year		2010-09-16		
2013	The application will provide response times in the range of 5-10 seconds, as applicable, for screen refresh, navigation of forms, response of defined standard online report execution	Available by end of Fiscal Year		2010-09-16		

* - Indicates data is redacted.